

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1800.38B

8/13/90

SUBJ: OFFICE OF THE ASSISTANT ADMINISTRATOR FOR AIRPORTS EVALUATION PROGRAM

1. **PURPOSE.** This Order establishes objectives, responsibilities, and procedures for evaluation of programs and organizations under the executive direction of the Assistant Administrator for Airports (ARP).
2. **DISTRIBUTION.** This Order is distributed to branch level in the Offices of Airport Safety and Standards, Airport Planning and Programming, Office of Aviation Safety; Regional Airports Divisions, Airports District Offices, and Airports Field Offices; and the Deputy Associate Administrator for Appraisal.
3. **CANCELLATION.** Order 1800.38A, Office of the Associate Administrator for Airports Evaluation Program, dated January 30, 1980, is cancelled.
4. **SCOPE.** This Order encompasses all aspects of the Airports Evaluation Program in headquarters and the regions.
5. **TYPES OF EVALUATIONS.**

a. **National Program Evaluation.** This type of evaluation directed by headquarters is a systematic analysis of a particular program area or an overall assessment of an organization designed to measure its effectiveness in achieving objectives. It includes an assessment of decision-making processes, policies, and procedures. Problems are identified and solutions recommended.

b. **Special Evaluation.** This type of evaluation examines a specific topic that is of unique interest to management. These evaluations are normally short-term and high priority and may be conducted either by headquarters or the region.

c. **Regional Evaluations.** This type of evaluation may be similar in nature to National Program Evaluations but conducted by the region.

d. **Externally Required Evaluations.** These are evaluations such as those required by OMB Circulars A-123, A-104, Federal Managers' Financial Integrity Act, etc.

e. **Evaluations by NonAirports Organizations.** These are evaluations, audits, assessments, appraisals of Airports activities conducted by others, such as the Office of Aviation Safety, Office of Inspector General, General Accounting Office, etc.

6. **EVALUATION PROGRAM OBJECTIVES.** The objectives of this program are:

- a. To assess the overall effectiveness, efficiency, and economy of Airports programs in meeting their stated objectives and priorities.
- b. To determine the suitability of service being provided program users.
- c. To foster continued improvement in quality and economy of programs by identifying and encouraging the use of sound management practices.
- d. To assess the adequacy, quality, consistency, and compliance with established policies, standards, and procedures.
- e. To conduct a National Program Evaluation in each major program area at least once every 3 years.

Distribution: A-W(AS/SF/PP)-3; A-X(AS)-2; A-FAS-1(STD); AAD-2 Initiated By: ARP-11

7. RESPONSIBILITIES. The Assistant Administrator for Airports (ARP-1) is directly responsible for the Airports Evaluation Program. In carrying out this program, specific responsibilities are assigned as follows:

a. The Management Staff shall:

- (1) Serve as the designated Evaluation Officer and alternate for the Assistant Administrator for Airports.
- (2) Conduct national program evaluations and special evaluations of management and administrative programs.
- (3) Develop and publish guidelines, criteria, and procedures for the Airports Evaluation Program.
- (4) Prepare and maintain the Airports Annual Evaluation Plan.
- (5) Recommend to the Assistant Administrator for Airports resources required for the Airports Evaluation Plan to be included in the agency budget submission.
- (6) Prepare and issue the following reports:
 - (i) The Annual Evaluation Plan as identified in paragraph 9 which is due September 1 to ASF-1 and AAD-2.
 - (ii) A summary report of evaluation and appraisal accomplishments will be submitted through ARP-1 to AAD-2 by November 1, and will cover the preceding fiscal year.
- (7) Provide guidance and assistance to regional Airports divisions on evaluation matters.
- (8) Develop and administer the tracking system indicated in paragraph 14.
- (9) Coordinate activities necessary to take appropriate action in response to evaluation findings and recommendations.

b. The Office of Airport Safety and Standards, and the Office of Airport Planning and Programming shall:

- (1) Conduct national program evaluations and special evaluations in the following program areas:

Office of Airport Safety and Standards

- (i) Airports Standards;
- (ii) Airports Certification and Safety

Office of Airport Planning and Programming

- (i) Planning;
- (ii) Grants;
- (iii) Environment

- (2) Take appropriate action in response to evaluation findings and recommendations.

c. Regional Airports Divisions shall:

- (1) Support national program evaluations and special evaluations in all program areas.
- (2) Conduct regionally developed program evaluations on a scheduled basis.
- (3) Forward to ARP-10 recommendations for national evaluation of any problem area or regional evaluations that may be appropriate for headquarters level evaluation or inclusion in a national report.
- (4) Take appropriate action in response to evaluation findings and recommendations.

8. EVALUATION CRITERIA AND GUIDELINES. Criteria and guidelines for conducting evaluations are contained in Appendix 2.

9. ANNUAL EVALUATION PLAN. The Annual Evaluation Plan lists all National and Special Evaluations planned during the upcoming fiscal year and shall include the following:

- a. schedule that shows the organizations, programs, and activities to be evaluated;
- b. the scope of the evaluation;
- c. the resources committed to its accomplishment; and
- d. the expected dates of start and completion.

This Plan will be approved by the Assistant Administrator for Airports and submitted by September 1 to ASF-1 and AAD-2.

10. DESCRIPTION OF THE EVALUATION PROCESS. Although evaluations will vary depending on the subject matter, there are certain elements of an evaluation which will be common to most. Appendix 1 is a list of those elements. Some or all of these elements will be used in developing and carrying out the evaluation. Generally the elements are listed in chronological order of their inclusion in the evaluation process.

In adhering to the policies contained herein, agency evaluations and appraisals shall employ, whenever practicable, quantifiable measures of performance, efficiency, and effectiveness.

11. CONDUCTING EVALUATIONS.

a. A team leader shall be appointed by the office director, staff manager, or regional Airports Division manager for each approved evaluation. This team leader will be responsible for all aspects of the evaluation from assembling the evaluation team to the preparation of the final report.

b. In carrying out the steps identified in paragraph 10, the evaluation should normally involve the following procedures.

(1) Forming the Evaluation Team.

(a) It is recommended that the team be composed of one representative from Airports headquarters and two or more from the regional Airports Divisions.

(b) The team will meet prior to the evaluation to discuss the prospectus identified in paragraph 11b(2).

(2) Evaluation Project Prospectus. The team leader is responsible for developing a prospectus describing the objectives, scope, participation, schedule for the evaluation, and the resources required to perform the evaluation. A team leader's checklist showing factors to consider in designing an evaluation are contained in Appendix 4.

(3) Conduct of the Evaluation Visit.

(a) An entrance interview shall be conducted by the evaluation team to acquaint the affected managers with the evaluation prospectus.

(b) Evaluation of FAA organizations should be accomplished in a thorough and comprehensive manner. However, care must be taken to minimize disruption to the organization.

(c) The team shall conduct an exit briefing for affected managers at the conclusion of the evaluation visit. Facts found and observations made should be discussed as well as any concerns of either party. It should be emphasized that the findings and recommendations are preliminary and subject to further analysis, study, and possible revision.

(4) Completing the Evaluation. The team shall review the data collected and perform necessary analysis. The analysis should answer the following questions:

- o Are problems or deficiencies identified?
- o What data verifies these findings?
- o What is the program impact of the deficiency?
- o What corrective action is needed?

(a) Following analysis, the team should list appropriate findings and recommendations and prepare a draft evaluation report.

(i) The draft evaluation report shall be prepared by the evaluation team and reviewed/coordinated with all involved organizations for comment. After review of the draft report, the team shall include a summary of all comments covering nonconcurrences, comments not accepted, and the reasons for not accepting the comments. This draft report should be completed within 30 days from the exit briefing.

(ii) Unless otherwise authorized by the organization head, evaluation reports should be marked "For Official Use Only (Public Availability to be Determined Under 5 U.S.C. 552)." Requests for disclosure should be handled in accordance with Order 1200.23, Public Availability of Information, and Order 1600.15D, Control and Protection of "For Official Use Only" information.

(b) The evaluation team shall also prepare any documents required to implement the recommendations of the study, e.g., letters directing implementation of recommendations and/or special schedules, etc.

(c) The final report, disposition of comments, and implementing documents shall be sent to the appropriate office director or staff manager for review and approval, with a cover letter signed by the evaluation team leader 60 days from the exit briefing.

(d) Report format and organization is contained in Appendix 3.

12. PROCEDURES FOR SPECIAL EVALUATIONS. An abbreviated, less formal procedure may be required for performing special evaluations because of their priority and restricted timing. As a minimum, the following steps should be addressed:

- a. Planning adequate to identify goals and data sources.
- b. Coordinating the project with involved organizations.
- c. Documenting the results of the study and any required follow-up actions.

13. MANAGEMENT ACTION AND DISPOSITION.


a. Upon approval of the evaluation report, the office director or staff manager will distribute copies of the report to all affected organizations with a copy to ARP-10. The office director or staff manager will then initiate all necessary actions to carry out the approved recommendations in the report. Any recommendations which cannot be implemented within the scope of authority of the office or staff should be directed to the attention of higher management for action.

b. Copies of completed regional evaluations are to be forwarded to ARP-11, who in turn will provide copies to the respective program office in headquarters.

14. TRACKING AND FOLLOW-UP.

a. **TRACKING.** ARP-10 shall develop a tracking system to monitor the accomplishment of each evaluation. The tracking system shall provide (1) current status of each evaluation; (2) findings and conclusions reached; (3) recommendations made; (4) identification of follow-up action on recommendations including the schedule, official responsible, and date implemented. The office director or staff manager will be responsible for maintaining the currency of this data on a quarterly basis for any evaluation in their respective program areas.

b. **FOLLOW-UP.** The frequency of the follow-up should be consistent with the priority of the recommendation and should be assigned at the time of direction to implement the evaluation recommendations.


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Assistant Administrator for Airports

APPENDIX 1—COMPONENTS OF THE EVALUATION PROCESS

The following are components of the five phases of the evaluation process, and should be considered in conducting evaluations.

P L A N N I N G

- o Identify program areas/objectives
- o Review program performance
- o Prioritize
- o Identify resources
- o Determine methodology
- o Assign tasks/responsibility

S C H E D U L I N G

- o Negotiation
- o Coordination
- o Team orientation/training
- o Data gathering
- o Notification
- o Entrance interview
- o Work space
- o Security considerations
- o Duration of visit
- o Formal results and feedback

E X E C U T I O N

FACT FINDING (Data Gathering):

- o Interviews
- o Documents reviews
- o Records reviews
- o Validate preexecution data

IN-BRIEF

- o Evaluation/inspection

TEAM REVIEW (CONSENSUS):

- o High points - passive and unique
- o Problem or issue areas

DEVELOP OUTLINE OF REPORT

- o Recommendation
 - Daily review
 - Rough report
 - Assessment

DEBRIEF OF TOP MANAGEMENT

- o Region
- o Headquarters

F O L L O W - U P / T R A C K I N G

- o Follow-up action recommended
- o Initial follow-up/indication of planned actions
- o Periodic responses
- o Determining closeout
- o Reviewing follow-up action
- o Identification of trends
- o Various reports on program status
- o List of evaluations
- o Establish database to follow each evaluation
- o Identify significant deficiencies for reporting to management
- o Tracking implementation of corrective actions
- o Providing basis for reporting requirements

T R E N D A N A L Y S I S

- o Develop database
- o Use valid (mathematical, other techniques)
- o "Test" conclusions, e.g., using people not involved in body of study (fresh perspective)
- o Establish relationships between data - create "information"
- o Derive conclusions or trends
- o Cover extended time period (vary according to subject)
- o Identify/highlight essential meaningful factors
- o Categorize data
 - (See Attached)

TREND ANALYSIS

1. Database/tracking systems
 - Defined data (apples, oranges)
 - Define length of time
2. Criteria that measures
3. Analyze
 - Relevance
 - Significance
 - Reliable - repeatability
4. Creativity
 - Outside ideas and impacts
 - Constraints
5. "Soft" areas - forecasting
 - Extrapolation
 - Scenarios

APPENDIX 2—EVALUATION CRITERIA AND GUIDELINES

CRITERIA. National Program Evaluations shall be designed in terms of the following criteria:

- a. Do they emphasize national objectives and priorities?
- b. Are other stated objectives and goals met?
- c. Are programs in compliance with legislation?
- d. Do programs have a beneficial user impact?
- e. Are goals and objectives still relevant?
- f. Are organizations and programs operated economically?
- g. Are programs accomplished in a timely manner?
- h. Do organization structures adequately support accomplishment of goals?

GUIDELINES. Evaluations, whether national or regional, should include, as appropriate, reviews in the following areas:

- a. Adherence to national priorities and program accomplishment goals.
- b. User views of agency programs.
- c. Delivery of services to users.
- d. Impact of program and regulation external to the agency.
- e. Proper communication of program objectives.
- f. Documentation of procedures.
- g. Continued relevance of goals and regulations.
- h. Uniform implementation of programs between regions.
- i. Use of resources.
- j. Adequacy of monitoring systems for program accomplishment.
- k. Levels of delegation of authority.
- l. Proposals for management improvement.
- m. Adherence to procedures and legislation.
- n. Coordination with other agency programs.

APPENDIX 3—REPORT FORMAT AND ORGANIZATION

Evaluation reports should be prepared in accordance with the following format.

ORGANIZING YOUR REPORT

The Cover
The Body
The Rest
The Letter

THE COVER (Optional)

- A Style
- A Picture
- A Title
- A Subject
- A Preparer
- A Date
- A Number

THE BODY

- Objective & Scope
- Methodology Used
- Data/Information Gathered
- Analysis of Results
- Conclusions Reached
- Recommendations

THE REST

- Acknowledgements
- Table of Contents
- Introduction
- Background
- Bibliography
- Appendices
- Index

THE LETTER

- What, Who, Why, How
- Overview Pluses & Minus
- Credit/Recognize Difficulties
- Express Appreciation
- Commercial

EXECUTIVE BRIEFINGS

- Who, What, How, Why
- Findings
- Implications
- Recommendations

APPENDIX 4—TEAM LEADER'S CHECKLIST

FACTORS TO CONSIDER IN DESIGNING AN EVALUATION

- o Objectives**
 - related to mission
 - specific need of management
- o Scope**
 - magnitude, importance, sensitivity of program
 - coverage
- o Methodology**
 - criteria or standards for measurement
 - standardization of data
 - reliable information
- o Coordination**
 - who else should know about study?
- o Background**
 - prior agency studies
 - OIG or GAO findings
 - legal or regulatory requirements
 - internal controls
- o Resource Needs**
 - skills of staff
 - needed expertise
 - competing work priorities
 - consultant assistance
 - travel expenses
 - other expenses (e.g., visuals, report publication)
- o Special Instructions**
 - steps or procedures to be followed to gather information
 - responsibilities, assigning work to team members
 - data collection instruments
 - logistics
- o Report/presentation**
 - format
 - timeframe
 - review cycles
- o Assessing alternatives**
 - pros and cons
 - peer review

